

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re Application of:

Owens et al.

Confirmation No.: To Be Assigned

Group Art Unit: To Be Assigned

Serial No.: To Be Assigned

Examiner: To Be Assigned

Filed: Even Date Herewith

Docket No.: 200310583-1

For: Systems and Methods for Responding to a Data Transfer

**INFORMATION DISCLOSURE STATEMENT**

Commissioner for Patents

P.O. Box 1450

Alexandria, Virginia 22313-1450

Sir:

This information disclosure statement is filed in accordance with 37 C.F.R. §§ 1.56, 1.97, and 1.98, and specifically:

- ☒ under 37 CFR 1.97(b), or  
(within Three months of filing national application; or date of entry of international application; or before mailing date of first office action on the merits; whichever occurs last)
- ☐ under 37 CFR 1.97(c) together with either a:  
☐ Statement Under 37 C.F.R. 1.97(e), or  
☐ a \$180.00 fee under 37 CFR 1.17(p), or  
(After the CFR 1.97(b) time period, but before the final office action or notice of allowance, whichever occurs first)
- ☐ under 37 CFR 1.97(d) together with a:  
☐ Statement under 37 CFR 1.97(e), and  
☐ a \$180.00 petition fee set forth in 37 CFR 1.17(p).  
(Filed after final office action or notice of allowance, whichever occurs first, but before payment of the issue fee)

Enclosed is a check in the amount of \$0.00.

Enclosed is Credit Card Payment Form (PTO-2038) in the amount of \$0.00.

Please charge \$0.00 to deposit account 20-0778. At any time during the pendency of this application, please charge any fees required to Deposit Account 20-0778 pursuant to 37 CFR 1.25. The Commissioner is hereby requested to credit any overpayment to Deposit Account No. 20-0778.

- ☒ Applicant(s) submit herewith *Form PTO 1449A - Information Disclosure Statement by Applicant* together with copies (where required) of patents, publications or other information of which applicant(s) are aware, which applicant(s) believe(s) may or may not be material to the examination of this application and for which there may be a duty to disclose in accordance with 37 CFR 1.56. As required by 37 C.F.R. §1.98(a), a legible copy of each document is provided.
- ☐ A concise explanation of the relevance of foreign language patents, foreign language publications and other foreign language information listed on PTO Form 1449, as presently understood by the individual(s) designated in 37 CFR 1.56(c) most knowledgeable about the content is given on the attached sheet, or where a foreign language patent is cited in a search report or other action by a foreign patent office in a counterpart foreign application, an English language version of the search report or action which indicates the degree of relevance found by the foreign office is listed on the form PTO 1449 and is enclosed herewith.

The following rights are reserved by the Applicant(s): the right to establish the patentability of the claimed invention over any of the listed documents should they be applied as reference, and/or the right to prove that some of these documents may not be prior art, and/or the right to prove that some of these documents may not be enabling for the teachings they purport to offer.

This statement should not be construed as a representation that an exhaustive search has been made, or that information more material to the examination of the present application does not exist. Any statements or identifications regarding the relevance of any portion(s) of cited references should not be construed as a representation that the most relevant portion(s) have been identified, and the absence of such statements or identifications should not be construed as representations that there are no relevant portion(s). The Examiner is specifically requested not to rely solely on the materials submitted herewith. The Examiner is requested to conduct an independent and thorough review of the documents, and to form independent opinions as to their significance.

It is requested that the information disclosed herein be made of record in this application and that the Examiner initial and return a copy of the enclosed PTO-1449 to indicate the documents have been considered.

Respectfully Submitted,

**THOMAS, KAYDEN, HORSTEMEYER  
& RISLEY, L.L.P.**

By:

  
**Robert A. Blaha, Reg. No. 43,502**

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**EXPRESS MAIL**

I hereby certify that this correspondence is being deposited with the United States Postal Service as "Express Mail Post Office to Addressee" in an envelope addressed to: Commissioner for Patent, Mail Stop Patent Application, P.O. Box 1450, Alexandria, VA, on

03/26/04

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Signature - 

**PATENT APPLICATION**

Sheet 1 of 1

<b>FORM PTO-1449</b>  <b>LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT</b>  (Use several sheets if necessary)	ATTY. DOCKET NO. <b>200310583-1</b>	APPLICATION NO.  	CONFIRMATION NO. <b>TBA</b>
APPLICANT <b>Owens et al.</b>			
FILING DATE <b>Even Date</b>		GROUP <b>TBA</b>	

**REFERENCE DESIGNATION                      U.S. PATENT DOCUMENTS**

EXAMINER INITIAL		DOCUMENT NUMBER	PUBLICATION DATE	NAME	Pages, Columns, Lines Where Relevant Passages or Figures Appear
	1A	5,315,571	05/24/1994	Maeda et al.	
	1B	5,579,502	11/26/1996	Konishi et al.	
	1C	5,815,426	09/29/1998	Jigour et al.	
	1D	5,877,975	03/02/1999	Jigour et al.	
	1E	6,067,398	05/23/2000	Sato	
	1F	6,510,520 B1	01/21/2003	Steinberg	
	1G	6,538,758 B1	03/25/2003	Ikegawa	
	1H	6,545,891 B1	04/08/2003	Tringali et al.	
	1I	6,658,516 B2	12/02/2003	Yao	
	1J	6,663,007 B1	12/16/2003	Sun et al.	
	1K				

**FOREIGN PATENT DOCUMENTS**

		DOCUMENT NUMBER	PUBLICATION DATE	NAME OF PATENTEE OR APPLICANT	Pages/Columns/Lines Where Relevant Passages/Figures Appear	Check if Translation attached
	1L					
	1M					
	1N					
	1O					
	1P					

**OTHER REFERENCES (including Author, Title, Date, Pertinent Pages, etc.)**

	1Q	
	1R	
	1S	

EXAMINER	DATE CONSIDERED
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